



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/024,471	12/21/2001	Kondo	01-246

CONFIRMATION NO. 4337

## FORMALITIES LETTER



\*OC000000007524762\*

23400  
LAW OFFICE OF DAVID G POSZ  
2000 L STREET, N.W.  
SUITE 200  
WASHINGTON, DC 20036

Date Mailed: 02/25/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$390.
  - \$54 for 3 total claims over 20.
  - \$336 for 4 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1260.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/08/2002 JAD001 00000077 10024471  
01 FC:101  
02 FC:102  
03 FC:103  
04 FC:105  
740.00  
336.00  
54.00  
130.00

PATENT OFFICE 86  
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Director

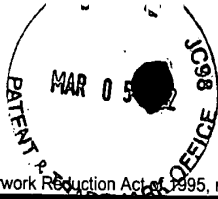
This Form Based on PTO/SB/21

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/024,471
	Filing Date	December 21, 2001
	First Named Inventor	KONDO et al.
	Group Art Unit	1765
	Examiner Name	
		Attorney Docket Number 01-246

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request of Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 2px;">Declaration and Power of Attorney</div> <div style="border: 1px solid black; height: 20px; margin-top: 2px;"></div> <div style="border: 1px solid black; height: 20px; margin-top: 2px;"></div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Law Offices of David G. Posz
Signature	<i>Charles W. Bethards</i>
Date	March 5, 2002

CERTIFICATE OF HAND DELIVERY			
I hereby certify that this correspondence is being hand delivered to and deposited with the Office of Initial Patent Examination at the United States Patent Office on the date indicated below and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231			
Type or printed name	Charles W. Bethards		
Signature	<i>Charles W. Bethards</i>	Date	March 5, 2002



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>FEE TRANSMITTAL</b> <b>for FY 2002</b>  <i>Patent fees are subject to annual revision.</i>		<b>Complete if Known</b>		
		Application Number	10/024,471	
		Filing Date	December 21, 2001	
		First Named Inventor	KONDO et al.	
		Examiner Name		
		Group/Art Unit	1765	
TOTAL AMOUNT OF PAYMENT (\$)		1300	Attorney Docket No.	01-246

<b>METHOD OF PAYMENT (check one)</b>		<b>FEE CALCULATION (continued)</b>																																																																																																																																																																																													
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:  Deposit Account Number: 50-1147  Deposit Account Name: LAW OFFICES OF DAVID G. POSZ  <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		3. <b>ADDITIONAL FEES</b>																																																																																																																																																																																													
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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	CHARLES W. BETHARDS	Registration No. (Attorney/Agent)	36,453
Signature	<i>Charles W. Bethards</i>	Telephone	(202) 416-1638
		Date	Mar 5, 2002

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): KONDO et al.

Serial No.: 10/024,471

Filed: December 21, 2001

Title: METHOD AND APPARATUS FOR  
PRODUCING SINGLE CRYSTAL,  
SUBSTRATE FOR GROWING SINGLE  
CRYSTAL AND METHOD FOR HEATING  
SINGLE CRYSTAL

Atty. Dkt.: 01-246

Group Art Unit: 1765

Examiner: Unknown

Assistant Commissioner for Patents  
Washington, D.C. 20231

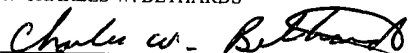
Date: March 5, 2002

CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand delivered to and deposited with the USPTO at the Customer Service Window, Office of Initial Patent Examination, Crystal Plaza Building 2, Room 1B03, 2011 South Clark Place, Arlington, VA 22202 on March 5, 2002.

Typed Name: CHARLES W. BETHARDS

Signature:



RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: Box Missing Parts

Sir:

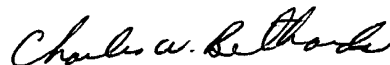
This is in response to a Notice to File Missing Parts of Nonprovisional Application mailed on February 25, 2002 in connection with the above application. Enclosed is a copy of said Notice, as well as the following documents and fees required to complete the filing requirements of the above application.

- Executed Declaration and Power of Attorney. The above-identified application is the same application the inventors executed by signing the enclosed declaration
- Executed Assignment and Recordation Cover Sheet
- A check in the amount of \$1300 to cover the following fees:
  - Statutory filing fee of \$740;
  - 3 additional total claims over 20 of \$54;
  - 4 additional independent claim over 3 of \$336;
  - Assignment Recordation Fee of \$40; and
  - Missing parts surcharge of \$130.

It is respectfully requested that any additional fees be charged to Deposit Account 50-1147.

Law Offices of David G. Posz  
2000 L Street, N.W.,  
Suite 200  
Washington, D.C. 20036  
(202) 416-1638

Respectfully submitted,



Charles W. Bethards  
Reg. No. 36,453  
Customer No. 23400